

# PATENT COOPERATION TREATY

## PCT

### INTERNATIONAL PRELIMINARY EXAMINATION REPORT (PCT Article 36 and Rule 70)

REC'D 16 NOV 2004

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Applicant's or agent's file reference 4-325621A	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/PEA/416)	
International application No. PCT/EP 03/08436	International filing date (day/month/year) 30.07.2003	Priority date (day/month/year) 31.07.2002
International Patent Classification (IPC) or both national classification and IPC A61K45/06		
Applicant NOVARTIS AG et al.		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.
2. This REPORT consists of a total of 5 sheets, including this cover sheet.
 

☐ This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of sheets.

3. This report contains indications relating to the following items:
 

I ☒ Basis of the opinion

II ☐ Priority

III ☒ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability


IV ☐ Lack of unity of invention

V ☒ Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

VI ☐ Certain documents cited

VII ☐ Certain defects in the international application

VIII ☐ Certain observations on the international application

Date of submission of the demand  29.01.2004	Date of completion of this report  12.11.2004
Name and mailing address of the international preliminary examining authority:   European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465	Authorized Officer  Herrera, S  Telephone No. +49 89 2399-8464



**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. **PCT/EP 03/08436**

**I. Basis of the report**

1. With regard to the **elements** of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)*):

**Description, Pages**

1-15 as originally filed

**Claims, Numbers**

1-12 as originally filed

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).  
☐ the language of publication of the international application (under Rule 48.3(b)).  
☐ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.  
☐ filed together with the international application in computer readable form.  
☐ furnished subsequently to this Authority in written form.  
☐ furnished subsequently to this Authority in computer readable form.  
☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.  
☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- ☐ the description, pages:  
☐ the claims, Nos.:  
☐ the drawings, sheets:

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)).

*(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)*

6. Additional observations, if necessary:

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**III. Non-establishment of opinion with regard to novelty, inventive step and industrial applicability**

1. The questions whether the claimed invention appears to be novel, to involve an inventive step (to be non-obvious), or to be industrially applicable have not been examined in respect of:

- ☐ the entire international application,  
☒ claims Nos. 1-9,11-12

because:

- ☒ the said international application, or the said claims Nos. 1-8 relate to the following subject matter which does not require an international preliminary examination (specify):

**see separate sheet**

- ☒ the description, claims or drawings (*indicate particular elements below*) or said claims Nos. 1,8,9,11-12 are so unclear that no meaningful opinion could be formed (*specify*):

**see separate sheet**

- ☐ the claims, or said claims Nos. are so inadequately supported by the description that no meaningful opinion could be formed.

- ☐ no international search report has been established for the said claims Nos.

*See separate sheet*

2. A meaningful international preliminary examination cannot be carried out due to the failure of the nucleotide and/or amino acid sequence listing to comply with the standard provided for in Annex C of the Administrative Instructions:

- ☐ the written form has not been furnished or does not comply with the Standard.  
☐ the computer readable form has not been furnished or does not comply with the Standard.

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1. Statement

Novelty (N)	Yes: Claims	
	No: Claims	1-12
Inventive step (IS)	Yes: Claims	
	No: Claims	1-12
Industrial applicability (IA)	Yes: Claims	9-12
	No: Claims	

2. Citations and explanations

**see separate sheet**

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**Section III**

1. Claims 1-8 relate to subject-matter considered by this Authority to be covered by the provisions of Rule 67.1(iv) PCT. Consequently, no opinion will be formulated with respect to the industrial applicability of the subject-matter of these claims (Article 34(4)(a)(I) PCT).
2. Medical claims 1, 8, 9 and 11-12 is not acceptable under Art. 6, PCT. The therapeutic application is functionally defined by a mechanism of action which does not allow any practical application in the form of a defined, real treatment of a pathological condition (disease).

The objection could be overcome by either introducing in the claims a list of pathological conditions (diseases) cited in the application, or by showing that means are available which would allow the skilled person to recognise which additional condition(s) would fall within the functional definition.

**Section V**

1. Reference is made to the following documents:

D1: WO 94/17773 A (ABRAMOWICZ DANIEL ;SCHANDENE LILIANE (BE);  
CAPEL PAUL (BE); DELVAU) 18 August 1994 (1994-08-18)  
D2: WO 01/95928 A (SQUIBB BRISTOL MYERS CO ;TODDERUD CHARLES  
GORDON (US); TOWNSEND RO) 20 December 2001 (2001-12-20)  
D3: STEPKOWSKI S M ET AL: "Blocking of heart allograft rejection by  
intercellular adhesion molecule-1 antisense oligonucleotides alone or in  
combination with other immunosuppressive modalities." JOURNAL OF  
IMMUNOLOGY (BALTIMORE, MD.: 1950) UNITED STATES 1 DEC 1994,  
vol. 153, no. 11, 1 December 1994 (1994-12-01), pages 5336-5346,  
XP002257677 ISSN: 0022-1767

2. Documents D1 to D3 (cf. parts indicated in the search report) all disclose the combined use of at least one LFA-1 inhibitor such as IL-10 and a mTOR inhibitor such as rapamycin in the treatment of diseases such as cancer or immune disorders. The subject-matter of the present claims can therefore not be considered as neither novel nor inventive (Art 33 (2) and (3) PCT).

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